

CSIS PROCEDURE: CONDUCT OF HUMAN SOURCE OPERATIONS

Secret

Records

3. CONDUCT

- 3.1 In pursuit of the Service's activities, an HS will carry out tasks on behalf of the Service
The HS in activities
adverse impact except with appropriate approvals.

3.2

acting in a manner that may discredit CSIS or the Government of Canada (GC) or
have an adverse effect on

- 3.2.1 An HS is in a position to control an organization when the HS is able to exercise
significant authority over the leadership, finances, or strategic policy of the organization.

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5. HUMAN SOURCE AND EMPLOYEE SAFETY

- 5.1 If an employee believes an interaction could place their safety, security or operation at risk, the employee's supervisor must be immediately made aware

- 5.2 If the safety and/or security of an HS is believed to be at risk, the employee is to advise DG HSOS as soon as possible

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CSIS PROCEDURES: HUMAN SOURCE COMPENSATION

Secret

| | | |
|---|--|-------------------------|
|  | Governing Policy: Human Sources | |
| | Effective Date: 2017-10-10 | Approved by: DDO |
| | Policy Centre: HSOS | File No: |
| | Version No: 1 | French Version |
| | Replaces: OPS-707, OPS-707-1, and OPS-707-2 | |

1. INTRODUCTION

- 1.1 This procedure outlines the requirements pertaining to the compensation of a human source (HS) and the expenditures related to HS operations.
- 1.2 For the compensation of _____ refer to the DDO Interim Directive for the Management and Compensation
- 1.3 As the Policy Centre for HS operations, Human Sources and Operations Security (HSOS) will provide advice, guidance, and best practises in relation to the financial aspects of HS operations.

2. FINANCIAL AUTHORITIES

- 2.1 All payments _____ made by the Service to an HS _____ as part of an HS operation are considered _____ and must be made in accordance with CSIS Procedures:

- 2.2 Approval authorities for HS payments and HS operations are _____

2.3

- 2.4 An offer of remuneration to an HS that exceeds the signing authority of the Director must be approved by the Minister.

3. PAYMENTS

3.1

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3.2

3.3

Process

3.4

- 3.4.1 For individuals subject to special considerations,
provided to the relevant authority and approval must be obtained prior to making the
payment.

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Assessment

PAYMENTS

4.

4.1

4.2

4.3 An offer of compensation to an HS must be pre-approved in accordance with the "Delegation of Financial Signing Authorities" matrix.

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5.

PAYMENTS

6.

PAYMENTS

6.1

of an HS will be requested
and approved in accordance with CSIS Procedures: Human Source

7.


PAYMENTS

8.

REMUNERATION

CSIS PROCEDURE: HUMAN SOURCE MANAGEMENT

Secret

| | | |
|---|--|-------------------------|
|  | Governing Policy: Human Sources | |
| | Effective Date: 2017-10-10 | Approved by: DDO |
| | Policy Centre: HSOS | File No: |
| | Version No: 1 | French Version |
| | Replaces: OPS-701-1, OPS-702, and OPS-702-1 | |

1. INTRODUCTION

- 1.1 This procedure outlines the requirements related to the activation, inactivation, of a human source (HS) operation.

2. ACTIVATION

Access

- 2.1 At the request of a Region, in accordance with CSIS Procedures: Source Evaluation will open an HS file,

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3. INACTIVATION

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HS identities will either be protected in perpetuity or, with the consent of the HS, their identities will be made accessible when their inactive files are transferred to Library and Archives Canada after a 125-year retention period.

4.

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Reporting Requirements

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HS
the security of Service operations

operational activities which could impact
or discredit the

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Service or Government of Canada (GC),


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CSIS PROCEDURE: HUMAN SOURCE SPECIAL CONSIDERATIONS

Secret

| | | |
|---|---|-------------------------|
|  | Governing Policy: Human Sources | |
| | Effective Date: 2017-10-10 | Approved by: DDO |
| | Policy Centre: HSOS | File No.: |
| | Version No: 1 | French Version |
| | Replaces: OPS-703, OPS-703-1 and OPS-703, Appendix 1 | |

1. INTRODUCTION

1.1 This procedure outlines the considerations, decision-making process and requirements related to all aspects of a relationship with human sources (HS) who are subject to special considerations.

1.2 Special considerations must be undertaken in relation to:

Canadian Fundamental Institutions (CFI), including
secondary establishment;

post-

1.2.1 Members of a political CFI include

Canadian federal government employees,

CSIS PROCEDURE: HUMAN SOURCE SPECIAL CONSIDERATIONS

Secret

3.

4. CANADIAN FUNDAMENTAL INSTITUTIONS

4.1 Prior to a recruitment attempt of an individual who:

the employee must assess whether or not the individual's involvement as an HS could impact, or appear to impact, the integral role and functions of the CFI.

4.2 All employees must seek to ensure that HS operations do not hinder or appear to hinder the function of a CFI.

Assessment

4.3

CSIS PROCEDURE: HUMAN SOURCE SPECIAL CONSIDERATIONS

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Approval Authorities

4.4

4.5

- 4.6 When a recruitment or HS activity may impact or appear to impact the integral role or function of a CFI, the Director General (DG), Human Sources and Operations Security (HSOS) is the approval authority provided there is no adverse impact

Compensation

CSIS PROCEDURE: HUMAN SOURCE SPECIAL CONSIDERATIONS

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Reporting

5. HUMAN SOURCES IN GOVERNMENT

- 5.1 Although HS in government are considered political CFIs, and therefore subject to the requirements identified in Section 4, additional considerations apply when recruiting or directing an HS in the Canadian federal government.
- 5.2 HS in government will be encouraged to respect their employer's policies and procedures governing conduct.

Consultation Requirements

5.3

Consultation Requirements

5.4

CSIS PROCEDURE: HUMAN SOURCE SPECIAL CONSIDERATIONS

Secret

Waiving Consultation

- 5.5 When there is a need to waive the requirement for consultation with the responsible government department/agency
- Ministerial consultation is required.

Waiver of Consultation - Approving Authority

- 5.6 The Minister approves a request to waive the requirement to consult with the Deputy Head of the responsible government department/agency for HS in government

5.7

Compensation

5.8

- 5.9 The DG HSOS approves the provision of compensation to an HS in the Canadian federal government

5.10

CSIS PROCEDURE: HUMAN SOURCE SPECIAL CONSIDERATIONS

Secret

5.11

6. GOVERNMENT

6.1 The DG HSOS is the approval authority for any attempt to recruit an individual

7.

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Approvals


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|---|--|-------------------------|
|  | Governing Policy: Human Sources | |
| | Effective Date: 2017-10-10 | Approved by: DDO |
| | Policy Centre: HSOS | File No: |
| | Version No: 1 | French Version |
| | Replaces: OPS-705, OPS-705-1, OPS-706 and OPS-706-1 | |

1. INTRODUCTION

- 1.1 This procedure outlines requirements relating to the human source (HS).

2. HUMAN SOURCE

Human Source

2.1

2.2

Human Source

2.3

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Human Source

2.4

2.5

2.6

Human Source

2.7

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3. HUMAN SOURCE

Source-

3.1

3.2

the HS file in accordance with CSIS Procedures: Human Source Management.

3.3

3.4

3.5

Reporting Requirements

3.6

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4. HUMAN SOURCE

Considerations

4.1

4.2

4.3

4.4

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Types of Assistance

- 4.5 The types of assistance that can be provided to an HS include, but are not limited to:

Process

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4.11

4.12

Human Source – Approvals

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4.14

4.15

Human Source – Approvals

4.16

4.17

5. COMPENSATION

Human Source

5.1

5.2

CSIS PROCEDURE: HUMAN SOURCE

Secret

Human Source

5.3

5.4

6. NOTIFICATION

Ministerial Assistance

6.1


may seek Ministerial consideration.

the Director

Director's Annual Report to the Minister

CSIS PROCEDURE: HUMAN SOURCE

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| | | |
|---|---|-------------------------|
|  | Governing Policy: Human Sources | |
| | Effective Date: 2017-10-10 | Approved by: DDO |
| | Policy Centre: HSOS | File No: |
| | Version: 1 | French Version: |
| | Replaces: OPS 701, OPS 702, OPS-702-1, OPS-702-7 | |

1. INTRODUCTION

1.1 This procedure outlines the requirements related to the _____ of a human source (HS) and the determination _____ and reporting history.

1.2

1.3 Employees must be familiar with the requirements identified in CSIS Procedure: Special Considerations.

2.

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4.

5.

REPORTING HISTORY

5.1 Operational reports containing information attributed to an HS

5.2

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Reporting History

5.3

5.4

5.5

5.6

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Reporting History


5.7

- 5.8 When a HS's reporting history will ensure that the HS reflect the new in accordance with the CSIS Procedure: Human Source

Reporting History

CSIS POLICY: HUMAN SOURCES

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| | | |
|---|---|-------------------------|
|  | Effective Date: 2017-10-10 | Approved by: DDO |
| | Policy Centre: HSOS | File No: |
| | Version No: 1 | French Version |
| | Replaces: OPS-701, OPS-702, OPS-703, OPS-704, OPS-705, OPS-706 and OPS-707 | |

1. INTRODUCTION

- 1.1 This policy establishes the principles and requirements governing the Service's conduct of human source (HS) operations, including relationships with active and inactive HSs.
- 1.2 This policy applies to employees involved in HS operations, HSs under evaluation,
- 1.3 This policy and related procedures should be read in conjunction with the CSIS Policy Framework, CSIS Policy: Conduct of Operations, CSIS Policy: and CSIS Policy: Expenditure Management and associate procedures, as well as the

2. RESPONSIBILITIES

Human Sources and Operations Security

- 2.1 Human Sources and Operations Security (HSOS) Branch is the Policy Centre for all matters related to an HS, operational security and HSOS provides advice and operational assistance, direction, and develops best practices and Service-wide standards. The Director General HSOS will provide direction as it relates to HS Policy, as required.
- 2.2 HSOS is responsible for operational security CSIS policies and procedures in line with the Canadian Security Intelligence Service (CSIS) Act, Ministerial Direction and Service Directives.
- 2.3

2.4

Regions

- 2.5 Regions are responsible for the recruitment, assessment and management of HS operations Service-wide standards, and best practices

CSIS POLICY: HUMAN SOURCES

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2.6

National Headquarters Branches

- 2.7 National Headquarters (NHQ) Branches are responsible for providing direction and assess of the HS operations related to HS operations

3. HUMAN SOURCE PROGRAM

- 3.1 The Government of Canada (GC) and Canadian public expect a high level of professionalism by CSIS, which must fulfil its mandate in accordance with the *CSIS Act* and with due regard to Canadian law, including the *Canadian Charter of Rights and Freedoms*.
- 3.2 The cooperation of an HS is integral to the Service's ability to investigate, analyze and advise on threats to the security of Canada.
- 3.3 The conduct of HS operations is fundamental to achieving the Service's mandate and essential to its ability to protect Canada's national security interests and the safety of Canadians.
- 3.4 HS operations will be reasonable and necessary in support of the Service's duties and functions, and conducted in a manner that promotes Officer and HS safety and security,
- 3.5 HS files are to be centrally managed in order to protect their personal safety and the security of the Service's operations.
- 3.6 The Service will ensure HSs are managed fairly and ethically. The conduct of HS operations will adhere to an best-practices oriented, case management approach, which is

3.7

CSIS POLICY: HUMAN SOURCES

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3.8

3.9

Protection of Human Sources

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ensure the protection
security of operations and information.

HS will be conducted in such a manner as to
of the HS and employees, as well as the overall

3.11

and authorized in accordance with CSIS Procedure:

an HS is conducted

4. SPECIAL CONSIDERATIONS

4.1

The recruitment of certain HSs
subject to special considerations and may require higher levels of approval authority.

Some HS operations will be

4.2

Canadian Fundamental Institutions. For additional
information, refer to CSIS Procedure: Special Considerations.

5. DEVELOPMENT, RECRUITMENT AND REVIEW

5.

5.1

information, refer to CSIS Procedure: Human Source

For additional

CSIS POLICY: HUMAN SOURCES

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5.2

For additional information, refer to CSIS Procedure:

5.3

Prior to Evaluation will be initiated to a Source of the HS operation, evaluate the HS, and establish an HS

For additional information, refer to CSIS Procedure:

Source Evaluation

5.4

For additional information, refer to CSIS

Procedure:

5.5

For additional information, refer to CSIS Procedure: Human

Source Management.

6. CONDUCT OF HUMAN SOURCE OPERATIONS

6.1 HSs and employees are expected to conduct themselves in a manner that supports the duties and function of the Service, while ensuring their activities do not discredit the Service or the GC or that does not have impact

6.2

must be reported in accordance with CSIS Procedure:

6.3

If an HS is in conduct may discredit CSIS or the GC impact of the activities

For additional information, refer to CSIS Procedure:

Conduct of Human Source Operations.

CSIS POLICY: HUMAN SOURCES

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6.4

For additional information, refer to CSIS Procedure: Conduct of Human Source Operations.

Provision of Assistance

6.5 An HS may provide assistance in relation to:

- a)
- b) the collection of information on a general investigative authority;
- c)
- d) authorized s.12.1 threat reduction measures;
- e)
- f) the provision of assistance to Canada's federal, provincial or territorial governments;
- g)
- h) support or other assistance to a Service operation;
- i)
- j) activities approved in accordance with HS procedures.

6.6

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6.10

Reporting

6.11

For additional information, refer to CSIS

Procedure:

- 6.12 Intelligence is to be reported independently in s.12 operational holdings and retained in accordance with the DDO Directive: Long term Data Retention.

7. IDENTITY PROTECTION

7.1

- 7.2 The Service seeks to protect the identity, or any information from which the identity may be inferred, of any individual who cooperates with the Service

7.3

7.4

7.5

the Service will ensure the

HS's identity is protected in accordance with the CSIS Procedure: Human Source

CSIS POLICY: HUMAN SOURCES

SECRET

Disclosure

8. MANAGEMENT

- 8.1 The Service may, at any time, seek to _____ in relation to HS conduct and reliability. For additional information, refer to CSIS Procedure: Human Source Management.

Human Source File Management

8.2

- 8.3 Individual HS files are opened in order to protect an HS's identity

For additional information, refer to CSIS Appendix 1: File

Categories:

8.4

- 8.5 HS identities will either be protected in perpetuity or, with the consent of the HS, their identities will be made accessible when their inactive files are transferred to Library and Archives Canada after a 125-year retention period.

CSIS POLICY: HUMAN SOURCES

SECRET

9. COMPENSATION AND REMUNERATION

- 9.1 In exchange for providing operational assistance to the Service, the HS receive compensation
- 9.2
- 9.3 All compensation provided to an HS must be managed with integrity, transparency and accountability in accordance with established processes and controls. For additional information, refer to CSIS Procedure: Human Source Compensation.

10.

11.

12. NOTIFICATION REQUIREMENTS

- 12.1 In the planning and conduct of operational activity, the Service's notification and approval requirements must be routinely considered. consultation,
- 12.2 The Service will notify the Minister of Public Safety where an HS in activity that may:
 have adverse effect
 discredit the Service or the GC.

CSIS POLICY: HUMAN SOURCES

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12.3

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SUR LA PROTECTION DES RENSEIGNEMENTS
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Director's Annual Report


- 12.4 The Service will provide the following information in the Director's Annual Report to the Minister:

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CSIS PROCEDURE: HUMAN SOURCE

Secret

| | | |
|---|--|-------------------------|
|  | Governing Policy: Human Sources | |
| | Effective Date: 2017-10-10 | Approved by: DDO |
| | Policy Centre: HSOS | File No: |
| | Version No: 1 | French Version |
| | Replaces: OPS-702, OPS-702-8 | |

1. INTRODUCTION

- 1.1 This procedure provides direction on drafting and seeking approval of human source (HS)

2. PROCESS

CSIS PROCEDURE: HUMAN SOURCE

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CSIS PROCEDURE:

Secret

| | | |
|---|--|-------------------------|
|  | Governing Policy: Human Sources | |
| | Effective Date: 2017-10-10 | Approved by: DDO |
| | Policy Centre: HSOS | File No: |
| | Version No: 1 | French Version |
| | Replaces: OPS-702, OPS-702-1, and OPS-702-5 | |

1. INTRODUCTION

- 1.1 This procedure outlines the requirements for reporting developments related to human source (HS) operations and HS management

2. REPORTING

if applicable
in operational activity,

special considerations, or
or HS conduct).

CSIS PROCEDURE:

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Information

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corroboration:

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Operational Security:

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CSIS PROCEDURE:

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HS File Management:


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CSIS PROCEDURE: SOURCE EVALUATION

Secret

| | | |
|---|---|-------------------------|
|  | Governing Policy: Human Sources | |
| | Effective Date: 2017-10-10 | Approved by: DDO |
| | Policy Centre: HSOS | File No: |
| | Version No: 1 | French Version |
| | Replaces: OPS-702, OPS-702-1 and OPS-702-3 | |

1. INTRODUCTION

- 1.1 This procedure outlines the requirements for initiating the recruitment of a human source (HS) by requesting a Source Evaluation
- 1.2 The objective of the is to conduct and to evaluate the potential of an HS.
- in accordance with
- CSIS Procedure: Human Source
- 1.3 The employee must the information provided by the HS prior to, the recruitment.
- 1.4 Prior to requesting a employees must be familiar with the requirements identified in, and be in accordance with, CSIS Procedure: Special Considerations.

2. REQUEST FOR APPROVAL

- 2.1
- 2.2 The employee must include the following information in the

CSIS PROCEDURE: SOURCE EVALUATION

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information:

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(refer to CSIS Procedure: Human Source)

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CSIS PROCEDURE: SOURCE EVALUATION

Secret

Special Considerations, as appropriate, including relevant assessment.

Regional HS Development

CSIS PROCEDURE: SOURCE EVALUATION

Secret

HS File Management:

Assessment

2.3

Approvals

2.4

2.5

may approve a including payment authority, for a where the individual is subject to special considerations. These approvals will be in accordance with CSIS Procedure: Special Considerations.

2.6

2.7

CSIS PROCEDURE: SOURCE EVALUATION

Secret

The Director will notify the Minister, as applicable. The approval of the payment authority remains with the

2.8

The Director will advise the Minister.

3.

SOURCE EVALUATION